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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial No. 10/047,577 Conf. No. 4673
In Re Application of: Davies *et al.* Art Unit: 3629
Filed: 01/15/2002 Dkt. #: CHA920010007US1 (IBMC-0025)
Cust. No.: 23550 Examiner: Nguyen, T. D.
Title: SEPARATION OF DUTIES FOR
BUSINESS PROCESS RISK MANAGEMENT

COMMISSIONER FOR PATENTS

DESTINATION FACSIMILE NUMBER: 703-872-9306

Transmitted herewith is: Request for Continued Examination Transmittal (1 page)

in the above identified application.

- ☐ No additional fee is required.
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Spencer K. Warnick, Reg. No. 40,398

DATE: February 16, 2005

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**Request
for
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Transmittal**

Address to:
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Alexandria, VA 22313-1450

| | |
|------------------------|------------------|
| Application Number | 10/047,577 |
| Filing Date | January 15, 2002 |
| First Named Inventor | Davies et al. |
| Art Unit | 3629 |
| Examiner Name | Nguyen, Tan D. |
| Attorney Docket Number | CHA920010007/US1 |

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).

- a. ☒ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.

- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____
ii. ☒ Other After-Final Amendment dated 01/13/2005 (11 pgs.)

- b. ☐ Enclosed

- i. ☐ Amendment/Reply

- ii. ☐ Affidavit(s)/ Declaration(s)

- iii. ☐ Information Disclosure Statement (IDS)

- iv. ☐ Other _____

2. **Miscellaneous**

- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
b. ☐ Other _____

3. **Fees**

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

The Director is hereby authorized to charge the following fees, or credit any overpayments, to

- a. ☒ Deposit Account No. 090469 IBM. I have enclosed a duplicate copy of this sheet.

- i. ☒ RCE fee required under 37 CFR 1.17(e)

- ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)

- iii. ☐ Other _____

- b. ☐ Check in the amount of \$ _____ enclosed

- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

| | | | |
|-------------------|---------------------------|------------------|-------------------|
| Signature | <i>Spencer K. Warnick</i> | Date | February 16, 2005 |
| Name (Print/Type) | Spencer K. Warnick | Registration No. | 40,398 |

CERTIFICATE OF MAILING OR TRANSMISSION

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| Signature | <i>Jennifer Desblens</i> | Date | February 16, 2005 |
| Name (Print/Type) | Jennifer Desblens | | |

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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